



Acid Rain Program

Instructions for Allowance

Transfer Form (40 CFR 73.50 - 73.53)

The Acid Rain Program regulations allow for the transfer of SO₂ emissions allowances between Allowance Tracking System (ATS) accounts, including transfers of allowances between contemporaneous future year subaccounts and between compliance subaccounts and current year subaccounts. You may transfer a portion of your allowance allocation or the entire allocation in perpetuity from a unit account to another account in the ATS. Upon receipt of a complete Allowance Transfer form, EPA will move the allowances from the transferor's account to the transferee's account.

Type or complete the form in black ink. If you need more space, photocopy the pertinent page. When you have completed the form, indicate the page order and total number of pages (*e.g.*, 1 of 4, 2 of 4, etc.) in the spaces provided in the upper right hand corner of each page.

Remember, under 40 CFR 72.21 and 73.33, you must notify the persons you represent in this transaction, either the owners or operators of the affected source and units, or persons with an ownership interest with respect to the allowances held, of all Acid Rain Program submissions.

EPA will accept Acid Rain Program submissions from either the authorized account representative (AAR) or the alternate AAR. (For unit accounts, the designated representative (DR) is the AAR and the alternate DR is the alternate AAR.)

If you need assistance, call the Acid Rain Hotline at 564-9620.

STEP 4 If you are transferring allowances in perpetuity, note that the range of serial numbers for a unit's allocation is different beginning in the year 2000 because of the addition of Phase 2 units to the program, and again beginning in the year 2010, when certain set-aside and bonus allowance programs are terminated. You therefore must specify exactly which allowances are to be transferred for years 1995 through 1999, for years 2000 through 2009 and then for years 2010 and beyond.

STEP 5 EPA will not transfer allowances unless the allowances are in the transferor's account at the time EPA processes this request.

List by serial number the allowances to be transferred. You may specify a series of allowances having a common use date by entering the serial number of the first allowance in the series in "Start Number" and entering the serial number of the last allowance in the series in "End Number." Separate series or series having a different use date must be entered on different lines.

Enter the Start Number and End Number in the appropriate columns; EPA recommends that you select a start number or end number that represents the start or the end of a pre-existing series in the transferor's account, so that series of allowances are not segregated unnecessarily, as would occur if you chose an intermediate start or end

number.

Enter the number of allowances to be transferred in the "Total" column.

Verify the accuracy of your entries by computing one of the following simple equations reflecting the equivalent relationships:

$$\text{Start Number} = \text{End Number} - \text{Total} + 1$$

or

$$\text{End Number} = \text{Start Number} + \text{Total} - 1$$

Submission Instructions

If you are transferring allowances for purposes of compliance with SO₂ emission reduction requirements for a given year, EPA must receive this form no later than the Allowance Transfer Deadline (midnight of March 1 of the next year.) Send to the following address:

U.S. Environmental Protection Agency
Acid Rain Program (6204N)
Attn: Allowance Tracking System

by regular/certified mail:
1200 Pennsylvania Ave, NW
Washington, DC 20460

or overnight mail:
633 Third Street, NW
Washington, DC 20001
(202)564-9150

Paperwork Burden Estimate

The burden on the public for collecting and reporting of information under this request is estimated at 2 hours per response. Send comments regarding this collection of information, including suggestions for reducing the burden, to: Chief, Information Policy Branch (PM-223), U.S. Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, D.C. 20460; and to: Paperwork Reduction Project (OMB#2060-0258), Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503. ***Do not send this form to these addresses; see the submission instructions above.***



Allowance Transfer

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For more information, see instructions and refer to 40 CFR 73.50 - 73.53

STEP 1

Enter account information about the transferor (in whose account the allowances currently reside)

Transferor:

ATS Account #

Authorized Account Representative (AAR) ID#

AAR Phone Number

AAR Fax Number

STEP 2

Enter account information about the transferee (into whose account the allowances are being transferred)

Transferee:

ATS Account #

Authorized Account Representative (AAR) ID#

AAR Phone Number

AAR Fax Number

STEP 3

Complete Steps 4 and 5. Both AARs should read the certification, print name, and sign and date

I am authorized to make this submission on behalf of the owners and operators of the affected source or affected units or on behalf of the parties with an ownership interest with respect to the allowances held for which the submission is made. I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.

Transferor:

Name

Signature

Date

Transferee:

Name

Signature

Date

ATS Account # (from page 1)

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STEP 4

Check this line if all allowances listed below are to be transferred in perpetuity. To correctly list the allowances in perpetuity, refer to the instructions for this form.

The allowances listed at Step 5 and the allowances with corresponding serial numbers insuccessive future year subaccounts will be transferred in perpetuity to the Transferee's account.

STEP 5

List the allowances to be transferred by serial number (see example).

You may specify single allowances or a series of allowances. In the total column, enter the total number of allowances to be transferred. Enter separate series or series with a different use date on a separate line.

[illegible]